



LUNDS
UNIVERSITET

COVER PAGE

Cover page

Type of document: Guidelines

Definition of the type of regulatory document: Guidelines establish how someone must or should act in the area covered by the guidelines. A “must” rule is to be complied with, whereas the nature of a “should” rule is more of a strong recommendation, which means that in exceptional cases something can be done in another way. Guidelines usually apply until further notice.

Approved by: Åsa Berglund

Decision date: 19 December 2024

Reg. no: V 2024/2994

Entry into force: 1 January 2025

Period of validity: Until further notice

Replaces: V 2019/2171

Organisational unit responsible for the document: Legal and Record Management Division

Administrative officers responsible for the document: Fredrik Tersmeden and Henrik Ullstad

Brief description of content: Regulatory document that governs which research documents at the Joint Faculties of Humanities and Theology are to be preserved or disposed of.

GUIDELINES

Reg. no

V 2024/2994

Date 19 December 2024

Legal and Record Management
Division
Head of Division Åsa Berglund

Guidelines for Preservation and Disposal of Research Documents at the Joint Faculties of Humanities and Theology

Background

The Archives Act (1990:782) states that

“The archives of public authorities are part of Sweden’s national cultural heritage.

The archives of public authorities are to be preserved, organised and cared for in such a way that they fulfil

1. the right to access public records,
2. the requirements for information for the administration of justice and other administration, and
3. the need for information required by research.”

Lund University's public authority archives also include the documents produced within the University's research activities, which is why these are also covered by the above formulation.

More detailed regulations for the preservation and disposal of documents in the research activities of public authorities are communicated in RA-FS 1999:1 (amended in RA-FS 2002:1). The public authority concerned is to decide on the application of these regulations. According to the National Archives, the decision should take the form of plans for the disposal and preservation of documents for various subject areas. These Guidelines are based on the National

Archives' regulations and replace *Plan for the Disposal and Preservation of Research Documents within the Faculties of Humanities and Theology* (V 2019/2171).

The Guidelines were drawn up by Record Management and Archives in consultation with the research support function at the Libraries of the Joint Faculties of Humanities and Theology.

Decision

Lund University decides to approve the Guidelines for Preservation and Disposal of Research Documents at the Joint Faculties of Humanities and Theology as stipulated in the appendix. The research documents of doctoral students are considered part of Lund University's stock of public records and are consequently covered by these Guidelines. The Guidelines are also to be applied in the disposal assessment and organisation of older documents when the assessment has not been conducted as stipulated in V 2019/2171. These Guidelines enter into force on 1 January 2025. At the same time, *Plan for the Disposal and Preservation of Research Documents within the Faculties of Humanities and Theology* (V 2019/2171) ceases to apply.

The decision on this matter was taken by Head of Division Åsa Berglund, following a presentation by archivists Fredrik Tersmeden and Henrik Ullstad.

Åsa Berglund

Appendix

Introduction

Documents produced as a result of research conducted at Lund University are public records that belong to the University.

This document governs:

- which research documents at the Joint Faculties of Humanities and Theology are to be preserved and which may be disposed of at Lund University as a public authority.
- who is authorised to decide on disposal.

However, this document does not govern:

- who is to do what (with the exception of that stated above). This is governed by the Joint Faculties of Humanities and Theology.
- copies of individual researchers' research documents. These may, however, be governed by other regulatory documents and by law.

Registration refers to registration of documents in Lund University's central document registration system W3D3. Anyone who is not authorised to work in the document registration system is to contact their local document controller and submit the documents in question for registration. For categorisation in the document registration system, see the University's general Records Management Plan.

Systematic filing means that documents are organised in a uniform and logical manner. This may involve putting documents in binders or storing them in a digital folder structure. The organisation of these documents is determined by the needs of the research – chronological, alphabetical, thematic or numerical order are all allowed as long as the organisation is logical and consistent so as to ensure the structure is comprehensible even to those who are not familiar with the documents, for example when they are to be archived.

Information on management, archiving and disposal is available:

- on the Record Management and Archives' page on the Staff Pages.
- in the guidelines and instructions on managing research data at the Joint Faculties of Humanities and Theology (HT) on the HT intranet.

For practical help and guidance, contact the HT Faculties archivist, research support at the HT libraries or the HT Faculties data steward.

1 Research documents related to aim, method and results

Document	Disposal/preservation	Management	Comments
Basic information on aim, method and results	<p>To be preserved.</p> <p><i>Especially in the case of:</i></p> <ul style="list-style-type: none"> • research results published by Lund University: the publication is preserved in the original publication format • research results published by external parties: final version of original manuscript or published version (if copyright allows) is preserved 	<p><i>Other types of documents to be registered:</i></p> <ul style="list-style-type: none"> • project descriptions and project plans • method descriptions and method instructions • interim and final reports, e.g. for funding bodies (not to be confused with scientific publication) • reports on organised seminars, conferences and similar events <p><i>Other types of documents to be systematically filed:</i></p> <ul style="list-style-type: none"> • published research results 	<p>“Basic” refers to the information necessary to understand the aim, method and results.</p> <p>For documents not mentioned in the examples, see the University's general Records Management Plan.</p>
Submitted preliminary versions of original manuscripts	Disposed of after publication of the final version or when it is established that publication will not take place.	To be filed systematically.	E.g. manuscripts submitted for peer review.

2 Research documents related to finances, ethical review, permits, governance and correspondence

Document	Disposal/preservation	Management	Comments
Applications and decisions on research funding	To be preserved.	To be registered.	The application and decision are preserved and registered in the event of both approval and rejection.
Contracts with research funding bodies	To be preserved.	To be registered.	
Agreements regarding research	To be preserved.	To be registered.	E.g. contract research agreements, research collaboration agreements, publishing agreements, access to documents with provisos, etc.
Final financial reports	To be preserved.	To be registered.	
Applications and decisions concerning ethical review or applications and decisions on permits for certain elements within the research	To be preserved.	To be registered.	The application and decision are preserved and registered in the event of both approval and rejection.
Minutes or other notes from meetings on the governance of the research project, e.g. steering group and reference group meetings	To be preserved.	To be registered.	

Correspondence	<p>Important correspondence is preserved.</p> <p>Correspondence of obviously minor importance and low information value may be disposed of immediately.</p> <p>Other correspondence related to research not funded by the EU is disposed of 10 years after the research results have been published or the project has been formally finalised in some other way.</p> <p>Other correspondence related to research funded by the EU is disposed of 17 years after the research results have been published or the project has been formally finalised in some other way.</p>	To be registered, or filed systematically.	<p>Refers to correspondence both within and outside Lund University.</p> <p>Emails that are to be preserved or disposed of after 10 years or more are to be stored in a different location than the email system, e.g. in a research data folder.</p>
----------------	---	--	---

3 Research documents that constitute primary material

The assessment of the documents' preservation value is to be made at the relevant department or equivalent organisational unit, in consultation between the head of department/equivalent and the researchers concerned. The assessment is also to take into account the criteria in point 4 below. Disposal is not to take place without approval from the head of department. An appropriate time for disposal decisions is at the end of the research project. Disposal decisions are to be documented and registered.

Document	Disposal/preservation	Management	Comments
Project journals, field notes or equivalent, documenting certain elements of the research	To be preserved.	To be filed systematically.	

Registers and databases concerning data with a particularly high degree of coverage and verifiability	To be preserved.	To be filed systematically.	
Documents created as a result of experiments, measurements, surveys, interviews, observational studies, excerpting or other means by which primary material can be created or collected	<p>To be preserved: documents that</p> <ul style="list-style-type: none"> • are unique • can only be recreated with great effort • have long-term value within the discipline • have value in terms of scientific history • have value in terms of personal history • have value in terms of cultural history • derive from research that has received or is expected to receive considerable public attention. <p>To be disposed of: other documents.</p>	<p>To be filed systematically.</p> <p>Documents to be disposed of related to research not funded by the EU are disposed of 10 years after the research results have been published or the project has been formally finalised in some other way.</p> <p>Documents to be disposed of related to research funded by the EU are disposed of 17 years after the research results have been published or the project has been formally finalised in some other way.</p>	<p>The timeframe for disposal is in part set based on the Act on Responsibility for Good Research Practice and the Examination of Research Misconduct (2019:504) and in part on the EU's audit requirements.</p>

4 Research documents regardless of the context in which they appear

In addition to what is stated in tables 1-3, research documents must also be preserved if they fulfil the following general criteria. Such research documents could be documents that, according to tables 1-3 or Lund University's Records Management Plan, can normally be disposed of. These criteria are also to be applied when assessing the preservation value of primary materials (see table 3 above).

Document	Disposal/preservation	Management	Comments
Documents highlighting the historical development of a scientific discipline	To be preserved.	To be filed systematically.	
Documents highlighting the academic environment from the perspective of cultural history	To be preserved.	To be filed systematically.	
Documents highlighting the activities of a well-known person	To be preserved.	To be filed systematically.	
Documents relating to research that has attracted a great deal of public attention or that can be expected to do so when the results of the research are more widely disseminated	To be preserved.	To be filed systematically.	